

Request for Records Disposition Authority

Records Schedule Number	DAA-0506-2013-0002
Schedule Status	Approved
Agency or Establishment	Defense Commissary Agency
Record Group / Scheduling Group	Records of the Defense Commissary Agency
Records Schedule applies to	Major Subdivision
Major Subdivision	Office of the Inspector General
Minor Subdivision	Investigation Branch
Schedule Subject	Case Reporting and Information Management System
Internal agency concurrences will be provided	Yes

Background Information

The Case Reporting and Information Management System (CRIMS) serves to automate, manage, and archive the Headquarters Defense Commissary Agency, Office of the Inspector General's investigative files related to Fraud, Waste, and Abuse (FWA), Criminal Activity Derogatory Information, and supporting documentation. CRIMS provides authorized users standard and advance search capability to promptly access information to accomplish the DeCA IG's mission in performing investigations, preparing reports and maintaining case files in a timely manner.

Documentation to be managed in CRIMS consists of information recorded from the initial time a contact is received from a complainant until 10 years after resolution or closure of the complaint.

Documentation may include:

- Case details to include: case number, case source, case type, claim number, estimated loss, incident date, intake date, intake method, judicial district, narrative, and location.
- Contact Information
- Archival information
- Case Notes
- Documentation to include: correspondence, reports, logs, statements, and documented interviews)
- Inspector General Action Request (IGAR)
- Investigative Plans
- Memorandum of Agreement (MOA)
- Plan Activities
- Legal Review (DeCA Office of the General Counsel notes, comments, concurrence, and non-concurrences)
- Assignments

- Working Papers containing Substantive Information
- Any other documentation that may serve as evidential information related to the case

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0506-2013-0002

Sequence Number	
1	Referral Case Files. Disposition Authority Number: DAA-0506-2013-0002-0001
2	Complaint Case Files. Disposition Authority Number: DAA-0506-2013-0002-0002
3	FWA Case Files. Disposition Authority Number: DAA-0506-2013-0002-0003
4	Standard Operation Procedures, Policy, Usage Agreements, and other Governance Documents for CRIMS. Disposition Authority Number: DAA-0506-2013-0002-0004

Records Schedule Items

Sequence Number	
1	<p>Referral Case Files.</p> <p>Disposition Authority Number DAA-0506-2013-0002-0001</p> <p>Documents related to DeCA FWA hotline calls, walk-in visits, telephone calls or electronic message to the DeCA IG FWAU, reporting minor violations of directives or requests for assistance that can be handled by formal referral to an Area Director or DeCA Staff Element, when no formal response is required.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation N1-506-02-6, Item 27</p> <p>Disposition Instruction</p> <p>Cutoff Instruction at the end of the Fiscal Year in which the case closed</p> <p>Retention Period Destroy 10 years after COFF or when no longer needed, whichever is later.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Complaint Case Files.</p> <p>Disposition Authority Number DAA-0506-2013-0002-0002</p> <p>Documents related to DeCA FWA hotline calls, walk-in visits, telephone calls or electronic message to the DeCA IG FWAU, requesting assistance or lodging non-FWA complaints, which require extensive intervention by the FWAU, or a response of action taken from an Area Director or other DeCA entities to which the issue is referred for resolution. The official files may also include copies of the case notes, investigative plans, legal review notes, correspondence, and coversheets, which are printed from the electronic tracking and control log.</p> <p>Final Disposition Temporary</p>

Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-506-02-6, Item 30
Disposition Instruction	
Cutoff Instruction	at the end of the Fiscal Year in which the case closed.
Retention Period	Destroy 10 year(s) after COFF

Additional Information

GAO Approval	Not Required
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FWA Case Files.

Disposition Authority Number	DAA-0506-2013-0002-0003
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Documents related to DeCA FWA hotline calls, walk-in visits, telephone calls or electronic message to the DeCA IG FWAU, reporting substantive allegations of FWA, which require extensive intervention by the FWAU, the referral of the issue to criminal investigative agencies, the conduct of a formal inquiry or investigation by IG Investigators, and/or a response of action(s) taken from Area Directors or other DeCA or non-DeCA staff elements to whom the issue is referred for inquiry and resolution. Included in the official file are copies of the case notes, investigative plans, legal review notes, correspondence, coversheets, and reports of investigation, which are printed from the electronic tracking and control log.

Final Disposition	Temporary
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Item Status	Active
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Is this item media neutral?	Yes
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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
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Do any of the records covered by this item exist as structured electronic data?	Yes
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GRS or Superseded Authority Citation	N1-506-02-6, Item 33
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Disposition Instruction

Cutoff Instruction at the end of the Fiscal Year in which the case closed.

Retention Period Destroy 10 year(s) after COFF

Additional Information

GAO Approval Not Required

Standard Operation Procedures, Policy, Usage Agreements, and other Governance Documents for CRIMS.

Disposition Authority Number DAA-0506-2013-0002-0004

Standard Operation Procedures, Policy, Usage Agreements, and other Governance Documents Related to the Usage of CRIMS.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Retention Period DELETE/DESTROY when superseded or obsolete, or upon termination of CRIMS whichever is sooner.

Additional Information

GAO Approval Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
08/22/2013	Certify	Carol Chambliss	Records Officer	Defense Commissary Agency - Information Technology Directorate
04/09/2014	Submit for Concurrency	Richard Noble	Appraiser	National Archives and Records Administration - Records Management Services
04/09/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
04/09/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
04/14/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist